

## Electronic Acknowledgement Receipt

|   |                                 |
|---|---------------------------------|
| <b>EFS ID:</b>                              | 11471734                        |
| <b>Application Number:</b>                  | 10801238                        |
| <b>International Application Number:</b>    |                                 |
| <b>Confirmation Number:</b>                 | 2021                            |
| <b>Title of Invention:</b>                  | PUBLIC OFFERING RISK MANAGEMENT |
| <b>First Named Inventor/Applicant Name:</b> | David Lawrence                  |
| <b>Customer Number:</b>                     | 54205                           |
| <b>Filer:</b>                               | John A. Squires/Nathan Poulsen  |
| <b>Filer Authorized By:</b>                 | John A. Squires                 |
| <b>Attorney Docket Number:</b>              | 17209-354                       |
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| <b>Filing Date:</b>                         | 15-MAR-2004                     |
| <b>Time Stamp:</b>                          | 13:08:56                        |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)     |

### Payment information:

|  |             |
|--|-------------|
| Submitted with Payment                   | yes         |
| Payment Type                             | Credit Card |
| Payment was successfully received in RAM | \$2040      |
| RAM confirmation Number                  | 616         |
| Deposit Account                          |             |
| Authorized User                          |             |

### File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/<br>Message Digest | Multi Part /.zip | Pages (if appl.) |
|-----------------|----------------------|-----------|-------------------------------------|------------------|------------------|
|-----------------|----------------------|-----------|-------------------------------------|------------------|------------------|

|                              |  |                                       |   |    |   |
|------------------------------|--|---------------------------------------|---|----|---|
| 1                            | Amendment after Notice of Allowance (Rule 312) | 17209_354_AmendmentAfterAllowance.pdf | 125475  | no | 4 |
|                              |  |                                       | 96d82f37ff26563e1b96940777cd0be89addc<br>b14f |    |   |
| Warnings:                    |  |                                       |   |    |   |
| Information:                 |  |                                       |   |    |   |
| 2                            | Issue Fee Payment (PTO-85B)                    | ptol_85.pdf                           | 126593  | no | 1 |
|                              |  |                                       | 0a4c653fec0861805fe561ca2f8aae9cd6a4e<br>1c3  |    |   |
| Warnings:                    |  |                                       |   |    |   |
| Information:                 |  |                                       |   |    |   |
| 3                            | Transmittal Letter                             | 17209_354_IssueFeeTransmittal.pdf     | 100141  | no | 2 |
|                              |  |                                       | 4467507fa0b89e7d4d0a6a54262a37123f8f<br>17d7  |    |   |
| Warnings:                    |  |                                       |   |    |   |
| Information:                 |  |                                       |   |    |   |
| 4                            | Fee Worksheet (SB06)                           | fee-info.pdf                          | 32163   | no | 2 |
|                              |  |                                       | 9f0f571d5d5db93bd5118aef70b59e13af4<br>d849   |    |   |
| Warnings:                    |  |                                       |   |    |   |
| Information:                 |  |                                       |   |    |   |
| Total Files Size (in bytes): |  |                                       | 384372  |    |   |

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**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**